APEX Clearing System Integration Guide (Member)

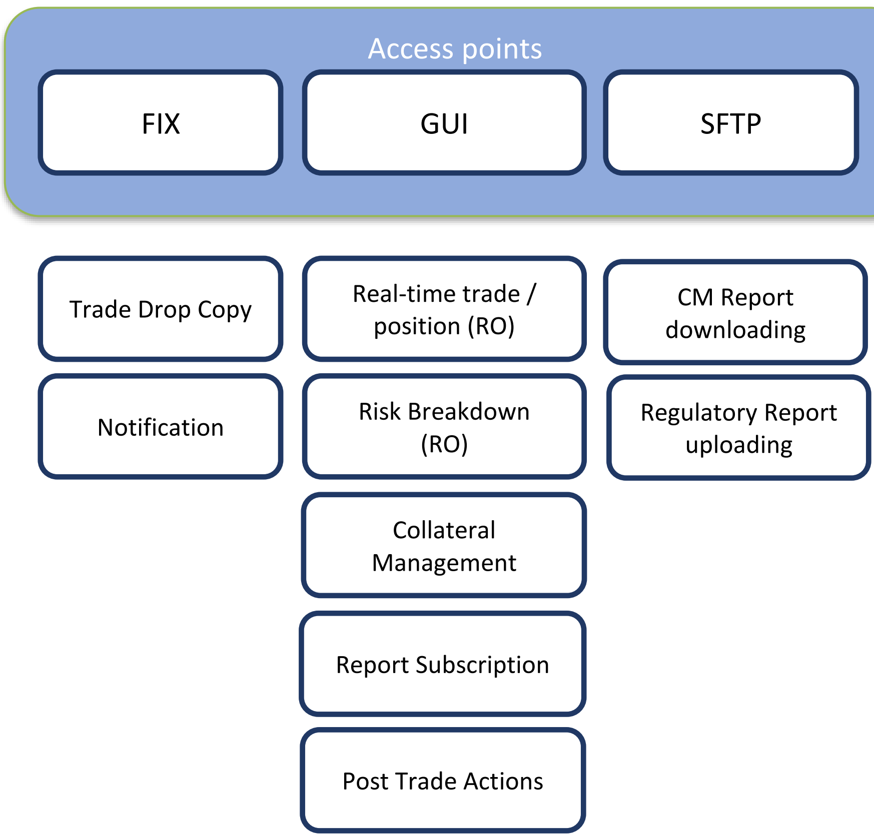
Introduction

APEX's Clearing Platform provides cross-asset clearing services for clearing members. Members may access clearing platform through following means:

- Programming Interface: Member can connect their proprietary or third-party back-office system to APEX-Clear via Financial Information eXchange (FIX) protocol. The API provides real-time trades drop copy and post-trade action updates. Additionally, API also supports queries on historical trades.

- Clearing Graphical User Interface (cCran™): The GUI front end provides members with comprehensive view of their accounts, trades, positions and margins. Members can also instruct post-trade actions and collateral transactions through this front end.

- Full suite of reports in pdf and csv format through sFTP: APEX provides full set of reports for reconciliation. They are made available through sFTP.



Programming Interface (FIX)

Clearing member who wants to subscribe real-time trade drop copy should subscribe FSMEM (Fix Server for Member) service provided by RTC. Please refer to “RTC_FIX4_4_Specification.pdf” for more information on how to develop a FIX client to subscribe FSMEM service.

FSMEM service is available from 6:30 AM till 5:10 AM (T+1) on every trading day. This service also supports session recovery from last unread message in the event of system communication failure. However, please note that session recovery is only supported for current calendar day. So T+1 session trades booked the day before cannot be recovered from today’s FIX session.

GUI

Member operation team can login to RTC Web GUI to monitor trades and positions; monitor margin requirements; withdraw/deposit collateral; subscribe/download reports or to perform post trade actions. Please refer “APEX Clear System User Guide (CM).pdf” for more details

SFTP

SFTP server is leveraged for member to download clearing house reports as well as submitting regulatory reports

DOWNLOADING

We have provided a suite of reports for members to download and process. Available at time below

1st trading session (T+1): available by 5:30 AM

2nd trading session (EOD): available by 20:30 PM

Please find more details in “APEX Clearing System Reports Specifications V<version>.pdf”

UPLOADING

APEX requires 3 regulatory report from members now. Namely “Open Position Report”, “Large Position Report” and “Position Accountability Report” to be submitted to clearing house once certain criteria is met. Please find more details in “APEX Regulatory Reports Specifications v<version>.docx”